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| 09/465,514 | 12/16/1999 | HENRY M. GLADNEY | A7254 | 8969 |

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| EXAMINER |
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HA, LEYNNA A

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| ART UNIT | PAPER NUMBER |
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2135

DATE MAILED: 06/29/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/465,514

Applicant(s)

GLADNEY, HENRY M.

Examiner

LEYNNA T. HA

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 02 March 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-42 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-42 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-42 is pending.
2. This is a non-final rejection.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. **Claims 1-26 and 38-42 are rejected under 35 U.S.C. 102(e) as being anticipate by Krishnaswamy, et al. (US 5,974,421).**

As per claim 1:

Krishnaswamy discloses a storage system comprising:

a first storage area having an object stored therein; and [see col.8, lines 26-45 and col.9, lines 30-31]

a second storage area having stored therein an object identifier that identifies the object, wherein the object identifier is unique within and outside of the storage system. [see FIG.4 and col.,6 lines 5-8; Krishnaswamy discloses that each object has an associated global unique identifier (GUID) which is a unique identifier differentiating one

object from all other objects. Krishnaswamy reads on the one object is unique within the storage system that contains all the objects. Further, it is taught the GUID is unique on all other computers on the network which reads on the object is unique outside of the storage system and amongst other computers.]

As per claim 2: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 3: see col., lines ; discussing the first and second storage areas are storage areas within a database.

As per claim 4: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 5: see col.5, lines 60-65; discussing the storage system is part of an access control system.

As per claim 6:

Krishnaswamy discloses a memory comprising:

a first storage area having an object stored therein; and [see col.8, lines 26-45 and col.9, lines 30-31]

a second storage area having stored therein an object identifier that identifies the object, wherein the object identifier is unique within and outside of the storage system. [see FIG.4 and col.,6 lines 5-8; Krishnaswamy discloses that each object has an associated global unique identifier (GUID) which is a unique identifier differentiating one object from all other objects. Krishnaswamy reads on the one object is unique within the storage system that contains all the objects. Further, it is taught the GUID is unique on

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all other computers on the network which reads on the object is unique outside of the storage system and amongst other computers.]

As per claim 7: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 8: see FIGURE 4 ; discussing first and second storage areas are storage areas within a database.

As per claim 9: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 10:

Krishnaswamy discloses a method of storing information in a storage system, comprising:

storing an object in the storage system; and [see col.8, lines 26-45 and col.9, lines 30-31]

storing an object identifier in the storage system, wherein the object identifier identifies the object, and the object identifier is unique within and outside of the storage system. [see FIG.4 and col.,6 lines 5-8; Krishnaswamy discloses that each object has an associated global unique identifier (GUID) which is a unique identifier differentiating one object from all other objects. Krishnaswamy reads on the one object is unique within the storage system that contains all the objects. Further, it is taught the GUID is unique on all other computers on the network which reads on the object is unique outside of the storage system and amongst other computers.]

As per claim 11: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 12: see FIGURE 4; discussing the object identifier is stored in a database.

As per claim 13: see FIGURE 4; discussing the object identifier is stored in a database.

As per claim 14: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 15: see col.6, lines 6-8; discussing the object identifier is a Universal Unique Identifier (UUID).

As per claim 16: see col.5, lines 60-65; discussing discloses the storage system is part of an access control system.

As per claim 17:

Krishnaswamy discloses an access control method comprising:

requesting access for a user to a remote resource, wherein the request includes a subject identifier for use in making an access control decision [see col.9, lines 11-38], and wherein the subject identifier is unique within and outside of the remote resource and identifies the user. [see FIG.4 and col.,6 lines 5-8; Krishnaswamy discloses that each object has an associated global unique identifier (GUID) which is a unique identifier differentiating one object from all other objects. Krishnaswamy reads on the one object is unique within the storage system that contains all the objects. Further, it is taught the GUID is unique on all other computers on the network which reads on the object is unique outside of the storage system and amongst other computers.]

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As per claim 18: see col.6, lines 6-8; discussing the subject identifier is a Universal Unique Identifier (UUID).

As per claim 19: see col.9, line 11-38; discussing request further includes a subject descriptor for use in the access control decision.

As per claim 20: see col.6, lines 6-8 and col.9, line 11-38; discussing the subject descriptor is a UUID for an organizational structure that includes the user.

As per claim 21: see col.7, lines 34-35 and col.8, lines 15-27; discussing the access control decision is made by a resource manager that protects the remote resource, and the request is sent over a communications path considered safe by the protecting resource manager and the user.

As per claim 22:

Krishnaswamy discloses a computer-readable medium having computer-executable code stored thereon comprising:

requesting access for a user to a remote resource, wherein the request includes a subject identifier for use in making an access control decision [see and col.9, lines 11-38], and wherein the subject identifier is unique within and outside of the remote resource and identifies the user. [see FIG.4 and col.,6 lines 5-8; Krishnaswamy discloses that each object has an associated global unique identifier (GUID) which is a unique identifier differentiating one object from all other objects. Krishnaswamy reads on the one object is unique within the storage system that contains all the objects. Further, it is taught the GUID is unique on all other computers on the network which reads on the object is unique outside of the storage system and amongst other computers.]

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As per claim 23: see col.6, lines 6-8; discussing the subject identifier is a Universal Unique Identifier (UUID).

As per claim 24:

Krishnaswamy discloses a method of identifying a user requesting access to an object, comprising:

establishing a secure communication path between a reference monitor protecting the object and a resource manager having information describing the user, in response to a request by the user to access the object; [see col.8, lines 26-45 and col.9, lines 11-38]

sending a request for user information from the protecting reference monitor to the resource manager, the request including a subject descriptor for the user, wherein the subject identifier is a Universal Unique Identifier UUUID). [see FIG.4 and col.,6 lines 5-8; Krishnaswamy discloses that each object has an associated global unique identifier (GUID) which is a unique identifier differentiating one object from all other objects. Krishnaswamy reads on the one object is unique within the storage system that contains all the objects. Further, it is taught the GUID is unique on all other computers on the network which reads on the object is unique outside of the storage system and amongst other computers.]

As per claim 25: see col.12, lines 40-47; discussing determining, based on the received user information, if the user has permission to access the request object. [see col.10 lines 48-67]

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As per claim 26: see col.9, lines 15-19; discussing the user information includes information relating to an organization of which the user is member.

As per claim 38: see col.8 lines 5-36; discussing wherein object is a database record describing a user.

As per claim 39: see col.8 lines 5-36; discussing wherein object is a database record describing a user.

As per claim 40: see col.8 lines 5-36; discussing wherein object is a database record describing a user.

As per claim 41: see col.7, lines 5-36 and col.8 lines 15-31; discussing the subject identifier identifies a database record describing the user, and the database record is stored on local resource physically separate from the remote resource.

As per claim 42: see col.7, lines 5-36 and col.8 lines 15-31; discussing the subject identifier identifies a database record describing the user, and the database record is stored on local resource physically separate from the remote resource.

3. Claims 34-37 are rejected under 35 U.S.C. 102(e) as being anticipate by Garg, et al. (US 6,625,603).

As per claim 34:

Garg discloses a method of accessing a protected object, comprising:

sending a globally unique identifier for a user to a name resolving device, and receiving therefrom information about the user; and [see col.8, lines 5-22; Garg discloses having different types of objects that comprises various properties such as object type identifier and a reference to security descriptor. The invention discloses the identifiers are Globally Unique Identifiers (GUIDs). Further, Garg discusses the claimed information about the user where USERID of the owner of the file and “user” object defined in the directory service can include user’s name, email address, password, etc.]

sending to a storage management system containing an object a request for access to the object [see col.2, lines 38-45; the request instructions is for service pertaining to access rights associated to objects where the request includes information about the user as discussed above. Access rights define who is allowed to perform particular operations on an object and are typically granted or denied based on the USERID or GROUPID], the request including the information about the user. [see col.7 lines 26-39 and col.14, lines 1-15]

As per claim 35: see Garg on col.6, lines 6-8; discussing the subject identifier is a Universal Unique Identifier (UUID).

As per claim 36:

Garg discloses a computer-readable medium of computer-executable code for accessing a protected object, comprising:

a first set of computer instructions for sending a globally unique identifier for a user to a name resolving device, and receiving therefrom information about the user; and [see col.8, lines 5-22; Garg discloses having different types of objects that comprises various properties such as object type identifier and a reference to security

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descriptor. The invention discloses the identifiers are Globally Unique Identifiers (GUIDs). Further, Garg discusses the claimed information about the user where USERID of the owner of the file and "user" object defined in the directory service can include user's name, email address, password, etc.]

a second set of computer instructions for sending to a storage management system [see col.6, lines 60-67] containing an object a request [see col.2, lines 38-45; the request instructions is for service pertaining to access rights associated to objects where the request includes information about the user as discussed above. Access rights define who is allowed to perform particular operations on an object and are typically granted or denied based on the USERID or GROUPID] for access to the object, the request including the information about the user. [see col.7 lines 26-39 and col.14, lines 1-15]

As per claim 37: see Garg on col.6, lines 6-8; discussing the subject identifier is a Universal Unique Identifier (UUID).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 27-33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Krishnaswamy, et al. (US 5,974,421), and further in view of Garg, et al. (US 6,625,603).

As per claim 27:

Krishnaswamy discloses an information storage management system, comprising a collection of stored objects [see col.6, lines 28-31 and col.8, lines 24-30], a resource manager connected to the access control unit and to a communication channel [see col.7, lines 35-36 and col.8, lines 15-27], and wherein the resource manager receives a user's request for access to the **[protected]** object, the request including a globally unique identifier for the user requesting the access [see col.6, lines 5-12], and in response to the user's request the resource manager sends over the communications channel to an external storage management system a request for information about the user the request including the globally unique identifier [see col.9, lines 5-37].

However, Krishnaswamy did not include an access control unit for determining if a requestor is authorized to access a protected object stored in the collection, wherein the resource manager upon receiving a response including user information about the user passes the user information to the access control unit; and based on the user information the access control unit determines whether to grant the subject access to the protected object.

Garg discloses having different types of objects that comprises various properties such as object type identifier and a reference to security descriptor **[see col.8, lines 5-22]**. The invention also discloses the identifiers are Globally Unique Identifiers (GUIDs) to distinguish it from other objects **[see col.6, lines 65-67 and col.13, lines 18-21]**. Access rights define who is allowed to perform particular operations on an object and are typically granted or denied based on the USERID or GROUPID for access to the object **[see col.2, lines 38-45]**. Garg discloses the claimed to access a protected object applies to the security descriptor that provides details of the security and access control applicable to the object **[see col.8, lines 23-25]**. Garg teaches one of the data structures defined in the invention includes fields defining whether access is being granted or denied and the type of access to grant or deny. In addition, the data structure also defines the user or group to whom the permission is granted or denied and the data structure includes identifier used to indicate the object type to which the permissions apply **[see col.3, lines 39-45]**. Garg teaches an access control module that provides centralized standard mechanism to evaluate whether or not various requests for operations affecting objects should be granted or denied **[see col.7, lines 26-30]**. Further, Garg discloses containing a request for service pertaining to access rights associated to objects where the request includes information about the user as discussed above. The information about a user is the object of Garg, defined by the file system service can include properties such as a USERID of the owner of the file, the file creation time, access time, etc. and that a "user" object can include user's name, E-mail address, and password, etc **[see col.8, lines 5-22]**.

Therefore it would have been obvious for a person of ordinary skills in the art at the time of the invention to combine Krishnaswamy with Garg to teach an access control unit for determining if a requestor is authorized to access a protected object stored in the collection, receiving a response including user information about the user passes the user information to the access control unit, and based on the user information the access control unit determines whether to grant the subject access to the protected object because the GUID along with other user information are data structures that includes fields defining whether access is being granted or denied [see col.2, lines 38-45] and the security descriptor that provides details of the security and access control applicable to the object [see col.8, lines 23-25]

As per claim 28: see col.6, lines 6-8; discussing the subject identifier is a Universal Unique Identifier (UUID).

As per claim 29: see col.9, lines 15-19; discussing the user information is organization information indicating whether the user is a member of an organization.

As per claim 30:

Krishnaswamy discloses an information storage management system, comprising:

a collection of stored objects; [see col.6, lines 28-31 and col.8, lines 24-30]

an access control unit for determining if a requestor is authorized to access a protected object stored in the collection; [see col.8, lines 50-57]

a resource manager connected to the access control unit and to a communication channel; [see col.7, lines 35-36 and col.8, lines 15-27]

wherein the resource manager ***[receives a user's request for access to the protected]*** object, the request including a globally unique identifier for the user requesting the access, and in response to the ***[user's]*** request the resource manager resolves the globally unique identifier to a user identifier recognized by an external storage management system; **[see col.6, lines 5-12]**

the resource manager sending to the external storage management system a request for information about the user**[see col.9, lines 5-37]**

wherein the resource manager upon receiving a response including user information about the user passes the user information to the access control unit; and **[see col.9, lines 41-55]**

[based on the user information the access control unit determines whether to grant the subject access to the protected object.]

However, Krishanaswamy did not include receives a user's request for access to the protected object and a request for information about the user that is a user identifier.

Garg discloses a storage system comprising a first storage area having an object stored therein and **[see col.6, lines 60-61]** a second storage area having stored therein an object identifier (GUID) that identifies the object, wherein the GUID is unique within the storage system **[see col.6, lines 65-67 and col.8, lines 10-15]**. Garg discloses having different types of objects that comprises various properties such as object type identifier and a reference to security descriptor **[see col.8, lines 5-22]**. The invention also discloses the identifiers are Globally Unique Identifiers (GUIDs) to distinguish it from other objects **[see col.6, lines 65-67 and col.13, lines 18-21]**. Access rights define

who is allowed to perform particular operations on an object and are typically granted or denied based on the USERID or GROUPID for access to the object **[see col.2, lines 38-45]**. Garg discloses the claimed to access a protected object applies to the security descriptor that provides details of the security and access control applicable to the object **[see col.8, lines 23-25]**. Garg teaches one of the data structures defined in the invention includes fields defining whether access is being granted or denied and the type of access to grant or deny. In addition, the data structure also defines the user or group to whom the permission is granted or denied and the data structure includes identifier used to indicate the object type to which the permissions apply **[see col.3, lines 39-45]**. Garg teaches an access control module that provides centralized standard mechanism to evaluate whether or not various requests for operations affecting objects should be granted or denied **[see col.7, lines 26-30]**. Further, Garg discloses containing a request for service pertaining to access rights associated to objects where the request includes information about the user as discussed above. The information about a user is the object of Garg, defined by the file system service can include properties such as a USERID of the owner of the file, the file creation time, access time, etc. and that a "user" object can include user's name, E-mail address, and password, etc **[see col.8, lines 5-22]**.

Therefore it would have been obvious for a person of ordinary skills in the art at the time of the invention to combine Krishnaswamy with Garg to teach receives a user's request for access to the protected object and a request for information about the user that is a user identifier because the GUID and the USERID are information that

user's request for access to the protected object and a request for information about the user that is a user identifier because the GUID and the USERID are information that identifies the user owning the file and are also the data structures that includes fields defining whether access is being granted or denied **[see col.2, lines 38-45]** and the security descriptor that provides details of the security and access control applicable to the object **[see col.8, lines 12-25]**

As per claim 31: see Krishnaswamy on col.6, lines 6-8; discussing the subject identifier is a Universal Unique Identifier (UUID).

As per claim 32: see Krishnaswamy on col.9, lines 15-19; discussing the user information is organization information indicating whether the user is a member of an organization.

As per claim 33: see Krishnaswamy on col.6, lines 6-8 and col.9, lines 15-19; discussing the resource manager resolves the globally unique identifier by using a name server.

Response to Arguments

As per claims 1-26 and 38-42, is rejected in view of Krishnaswamy.

As per claims 27-33, is rejected over Krishnaswamy and in further view of Garg.

As per claims 34-37 remains rejected in view of Garg.

The examiner traverses the argument (on pg.7) that Garg fails to teach or suggest the provision of a “globally unique identifier” for a “user”.

Claim 34 recites a method of accessing a protected object, comprising:

 sending a globally unique identifier for a user to a name resolving device, and receiving therefrom information about the user; and

 sending to a storage management system containing an object a request for access to the object the request including the information about the user.

Claim 36 recites a computer-readable medium of computer-executable code for accessing a protected object, comprising:

 a first set of computer instructions for sending a globally unique identifier for a user to a name resolving device, and receiving therefrom information about the user; and

 a second set of computer instructions for sending to a storage management system containing an object a request

 for access to the object, the request including the information about the user.

Claims 34-37 broadly claims a globally unique identifier for a user and did not include an identifier that is unique within and outside of the remote resource or the storage system.

In addition, the claimed globally unique identifier is relative and fails to recite how globally unique the identifier for a user can be. Hence, the examiner is required to broadly and reasonably interpret applicant’s globally unique identifier for a user is an identifier that is unique to the system meaning no two users will have the same identifier

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in the system, therefore is the identifier is globally unique for a user. Garg teaches the claimed globally unique identifier for a user is in the form of USERID that uniquely identifies a user to the system (col.2, lines 20-22).

Examiner further traverses the argument (on pg.7) that Krishnaswamy is silent regarding any particular unique user identification. Krishnaswamy discloses unique user identification in the form of GUID that is assigned to objects and identifies the object (col.8, lines 50-52). The GUID is a unique identifier differentiating one object from all other objects on all other computers on the network (col.6, lines 5-8). Krishnaswamy discloses the object relates to both employee information and capital assets of a company (col.9, lines 15-17 and 29-36). Therefore, Krishnaswamy teaches unique user information is the GUID.

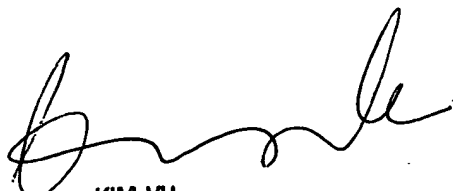
Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to LEYNNA T. HA whose telephone number is (571) 272-3851. The examiner can normally be reached on Monday - Thursday (7:00 - 5:00PM).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on (571) 272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

LHa



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SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100